

09/993,234

Application No.: \_\_\_\_\_

**NOTICE TO COMPLY WITH REQUIREMENTS FOR PATENT APPLICATIONS CONTAINING  
NUCLEOTIDE SEQUENCE AND/OR AMINO ACID SEQUENCE DISCLOSURES**

The nucleotide and/or amino acid sequence disclosure contained in this application does not comply with the requirements for such a disclosure as set forth in 37 C.F.R. 1.821 - 1.825 for the following reason(s):

- ☒ 1. This application clearly fails to comply with the requirements of 37 C.F.R. 1.821-1.825. Applicant's attention is directed to these regulations, published at 1114 OG 29, May 15, 1990 and at 55 FR 18230, May 1, 1990.
- ☐ 2. This application does not contain, as a separate part of the disclosure on paper copy, a "Sequence Listing" as required by 37 C.F.R. 1.821(c).
- ☐ 3. A copy of the "Sequence Listing" in computer readable form has not been submitted as required by 37 C.F.R. 1.821(e).
- ☐ 4. A copy of the "Sequence Listing" in computer readable form has been submitted. However, the content of the computer readable form does not comply with the requirements of 37 C.F.R. 1.822 and/or 1.823, as indicated on the attached copy of the marked -up "Raw Sequence Listing."
- ☐ 5. The computer readable form that has been filed with this application has been found to be damaged and/or unreadable as indicated on the attached CRF Diskette Problem Report. A Substitute computer readable form must be submitted as required by 37 C.F.R. 1.825(d).
- ☐ 6. The paper copy of the "Sequence Listing" is not the same as the computer readable form of the "Sequence Listing" as required by 37 C.F.R. 1.821(e).
- ☒ 7. Other: Specific errors in the Computer readable file (CRF)

**Applicant Must Provide:**

- ☒ An initial or substitute computer readable form (CRF) copy of the "Sequence Listing".
- ☒ An initial or substitute paper copy of the "Sequence Listing", as well as an amendment directing its entry into the specification.
- ☒ A statement that the content of the paper and computer readable copies are the same and, where applicable, include no new matter, as required by 37 C.F.R. 1.821(e) or 1.821(f) or 1.821(g) or 1.825(b) or 1.825(d).

For questions regarding compliance to these requirements, please contact:

For Rules Interpretation, call (703) 308-4216

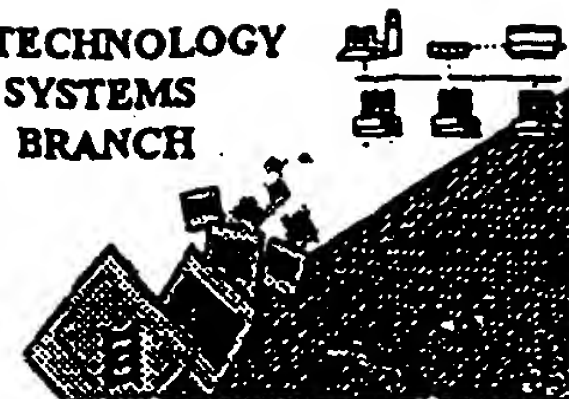
For CRF Submission Help, call ~~(703) 308-4212~~ 571-272-2510

For PatentIn software help, call (703) 308-6856

**PLEASE RETURN A COPY OF THIS NOTICE WITH YOUR RESPONSE**



BIOTECHNOLOGY  
SYSTEMS  
BRANCH



## SEQUENCE LISTING ERROR REPORT

The Biotechnology Systems Branch of the Scientific and Technical Information Center (STIC) detected errors when processing the following computer readable form:

Application Serial Number: 09/993,234A  
Source: IFW/6  
Date Processed by STIC: 4/13/04

**THE ATTACHED PRINTOUT EXPLAINS DETECTED ERRORS.**

**PLEASE FORWARD THIS INFORMATION TO THE APPLICANT BY EITHER:**

- 1) INCLUDING A COPY OF THIS PRINTOUT IN YOUR NEXT COMMUNICATION TO THE APPLICANT, WITH A NOTICE TO COMPLY or,
- 2) TELEPHONING APPLICANT AND FAXING A COPY OF THIS PRINTOUT, WITH A NOTICE TO COMPLY

**FOR CRF SUBMISSION AND PATENTIN SOFTWARE QUESTIONS, PLEASE CONTACT MARK SPENCER, TELEPHONE: 703-308-4212; FAX: 703-308-4221**

**Effective 12/13/03: TELEPHONE: 571-272-2510; FAX: 571-273-0221**

**TO REDUCE ERRORED SEQUENCE LISTINGS, PLEASE USE THE CHECKER VERSION 4.1 PROGRAM, ACCESSIBLE THROUGH THE U.S. PATENT AND TRADEMARK OFFICE WEBSITE. SEE BELOW FOR ADDRESS:**

**<http://www.uspto.gov/web/offices/pac/checker/chkr41note.htm>**

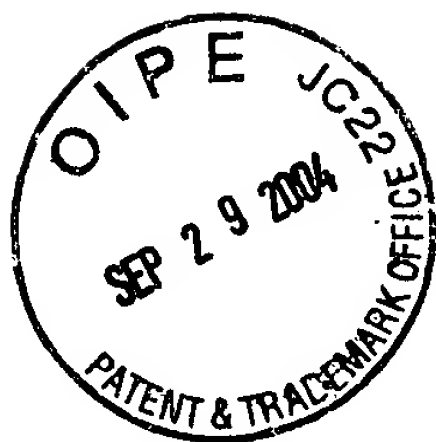
Applicants submitting genetic sequence information electronically on diskette or CD-Rom should be aware that there is a possibility that the disk/CD-Rom may have been affected by treatment given to all incoming mail.

Please consider using alternate methods of submission for the disk/CD-Rom or replacement disk/CD-Rom.

**Any reply including a sequence listing in electronic form should NOT be sent to the 20231 zip code address for the United States Patent and Trademark Office, and instead should be sent via the following to the indicated addresses:**

1. EFS-Bio (<<http://www.uspto.gov/efb/efs/downloads/documents.htm>> , EFS Submission User Manual - ePAVE)
2. U.S. Postal Service: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450
3. Hand Carry directly to (EFFECTIVE 12/01/03):  
U.S. Patent and Trademark Office, Box Sequence, Customer Window, Lobby, Room 1B03, Crystal Plaza Two, 2011 South Clark Place, Arlington, VA 22202
4. Federal Express, United Parcel Service, or other delivery service to: U.S. Patent and Trademark Office, Box Sequence, Room 4B03-Mailroom, Crystal Plaza Two, 2011 South Clark Place, Arlington, VA 22202

Revised 10/08/03



IFW16

## RAW SEQUENCE LISTING

PATENT APPLICATION: US/09/993,234A

DATE: 04/13/2004

TIME: 14:32:52

Input Set : A:\P1007P1D1.txt

Output Set: N:\CRF4\04132004\I993234A.raw

*delete - already shown*

## SEQUENCE LISTING

W--> 7 ~~SEQUENCE LISTING~~

## 9 (1) GENERAL INFORMATION:

- 11 (i) APPLICANT: Ashkenazi, Avi J.
- 13 (ii) TITLE OF INVENTION: Apo-2 LI AND Apo-3 POLYPEPTIDES
- 15 (iii) NUMBER OF SEQUENCES: 28
- 17 (iv) CORRESPONDENCE ADDRESS:
- 18 (A) ADDRESSEE: Genentech, Inc.
- 19 (B) STREET: 1 DNA Way
- 20 (C) CITY: South San Francisco
- 21 (D) STATE: California
- 22 (E) COUNTRY: USA
- 23 (F) ZIP: 94080

## 25 (v) COMPUTER READABLE FORM:

- 26 (A) MEDIUM TYPE: 3.5 inch, 1.44 Mb floppy disk
- 27 (B) COMPUTER: IBM PC compatible
- 28 (C) OPERATING SYSTEM: PC-DOS/MS-DOS
- 29 (D) SOFTWARE: WinPatin (Genentech)

## 31 (vi) CURRENT APPLICATION DATA:

- 32 (A) APPLICATION NUMBER: US/09/993,234A
- 33 (B) FILING DATE: 19-Nov-2001
- 34 (C) CLASSIFICATION:

## 44 (vii) PRIOR APPLICATION DATA:

- 37 (A) APPLICATION NUMBER: 08/828683
- 38 (B) FILING DATE: 31-MAR-1997
- 41 (A) APPLICATION NUMBER: 08/625328
- 42 (B) FILING DATE: 1-Apr-1996
- 45 (A) APPLICATION NUMBER: 08/710802
- 46 (B) FILING DATE: 23-Sep-1996

## 48 (viii) ATTORNEY/AGENT INFORMATION:

- 49 (A) NAME: Marschang, Diane L.
- 50 (B) REGISTRATION NUMBER: 35,600
- 51 (C) REFERENCE/DOCKET NUMBER: P1007P1D1

## 53 (ix) TELECOMMUNICATION INFORMATION:

- 54 (A) TELEPHONE: 650/225-5416
- 55 (B) TELEFAX: 650/952-9881

## ERRORED SEQUENCES

887 (2) INFORMATION FOR SEQ ID NO: 21:

889 (i) SEQUENCE CHARACTERISTICS:

890 (A) LENGTH: 197 amino acids

*P.2*



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Input Set : A:\P1007P1D1.txt

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```

966          95          100          105
968 Leu Cys Asp Glu Gly His Gly Leu Glu Val Glu Ile Asn Cys Thr
969          110          115          120
971 Arg Thr Gln Asn Thr Lys Cys Arg Cys Lys Pro Asn Phe Phe Cys
972          125          130          135
974 Asn Ser Thr Val Cys Glu His Cys Asp Pro Cys Thr Lys Cys Glu
975          140          145          150
977 His Gly Ile Ile Lys Glu Cys Thr Leu Thr Ser Asn Thr Lys Cys
978          155          160          165
980 Lys Glu

```

983 (2) INFORMATION FOR SEQ ID NO: 23:

985 (i) SEQUENCE CHARACTERISTICS:

986 (A) LENGTH: 78 amino acids

E--&gt; 987 (B) TYPE: PRT

988 (D) TOPOLOGY: Linear

990 (xi) SEQUENCE DESCRIPTION: SEQ ID NO: 23:

```

992 Val Val Glu Asn Val Pro Pro Leu Arg Trp Lys Glu Phe Val Arg
993 1          5          10          15
995 Arg Leu Gly Leu Ser Asp His Glu Ile Asp Arg Leu Glu Leu Gln
996          20          25          30
998 Asn Gly Arg Cys Leu Arg Glu Ala Gln Tyr Ser Met Leu Ala Thr
999          35          40          45
1001 Trp Arg Arg Arg Thr Pro Arg Arg Glu Ala Thr Leu Glu Leu Leu
1002          50          55          60
1004 Gly Arg Val Leu Arg Asp Met Asp Leu Leu Gly Cys Leu Glu Asp
1005          65          70          75

```

1007 Ile Glu Glu

1010 (2) INFORMATION FOR SEQ ID NO: 24:

1012 (i) SEQUENCE CHARACTERISTICS:

1013 (A) LENGTH: 77 amino acids

E--&gt; 1014 (B) TYPE: PRT

1015 (D) TOPOLOGY: Linear

1017 (xi) SEQUENCE DESCRIPTION: SEQ ID NO: 24:

```

1019 Ile Ala Gly Val Met Thr Leu Ser Gln Val Lys Gly Phe Val Arg
1020 1          5          10          15
1022 Lys Asn Gly Val Asn Glu Ala Lys Ile Asp Glu Ile Lys Asn Asp
1023          20          25          30
1025 Asn Val Gln Asp Thr Ala Glu Gln Lys Val Gln Leu Leu Arg Asn
1026          35          40          45
1028 Trp His Gln Leu His Gly Lys Lys Glu Ala Tyr Asp Thr Leu Ile
1029          50          55          60
1031 Lys Asp Leu Lys Lys Ala Asn Leu Cys Thr Leu Ala Glu Lys Ile
1032          65          70          75

```

1034 Gln Thr

1037 (2) INFORMATION FOR SEQ ID NO: 25:

1039 (i) SEQUENCE CHARACTERISTICS:

1040 (A) LENGTH: 74 amino acids

E--&gt; 1041 (B) TYPE: PRT

1042 (D) TOPOLOGY: Linear

## RAW SEQUENCE LISTING

PATENT APPLICATION: US/09/993,234A

DATE: 04/13/2004

TIME: 14:32:52

Input Set : A:\P1007P1D1.txt

Output Set: N:\CRF4\04132004\I993234A.raw

1044 (xi) SEQUENCE DESCRIPTION: SEQ ID NO: 25:

1046 Ile Cys Asp Asn Val Gly Lys Asp Trp Arg Arg Leu Ala Arg Gln  
 1047 1 5 10 15  
 1049 Leu Lys Val Ser Asp Thr Lys Ile Asp Ser Ile Glu Asp Arg Tyr  
 1050 20 25 30  
 1052 Pro Arg Asn Leu Thr Glu Arg Val Arg Glu Ser Leu Arg Ile Trp  
 1053 35 40 45  
 1055 Lys Asn Thr Glu Lys Glu Asn Ala Thr Val Ala His Leu Val Gly  
 1056 50 55 60  
 1058 Ala Leu Arg Ser Cys Gln Met Asn Leu Val Ala Asp Leu Val  
 1059 65 70

1061 (2) INFORMATION FOR SEQ ID NO: 26:

1063 (i) SEQUENCE CHARACTERISTICS:

1064 (A) LENGTH: 73 amino acids

E--&gt; 1065 (B) TYPE: PRT

1066 (D) TOPOLOGY: Linear

1068 (xi) SEQUENCE DESCRIPTION: SEQ ID NO: 26:

1070 Asn Arg Pro Leu Ser Leu Lys Asp Gln Gln Thr Phe Ala Arg Ser  
 1071 1 5 10 15  
 1073 Val Gly Leu Lys Trp Arg Lys Val Gly Arg Ser Leu Gln Arg Gly  
 1074 20 25 30  
 1076 Cys Arg Ala Leu Arg Asp Pro Ala Leu Asp Ser Leu Ala Tyr Glu  
 1077 35 40 45  
 1079 Tyr Glu Arg Glu Gly Leu Tyr Glu Gln Ala Phe Gln Leu Leu Arg  
 1080 50 55 60  
 1082 Arg Phe Val Gln Ala Glu Gly Arg Arg Ala Thr Leu Gln Arg Leu  
 1083 65 70 75  
 1085 Val Glu

1088 (2) INFORMATION FOR SEQ ID NO: 27:

1090 (i) SEQUENCE CHARACTERISTICS:

1091 (A) LENGTH: 77 amino acids

E--&gt; 1092 (B) TYPE: PRT

1093 (D) TOPOLOGY: Linear

1095 (xi) SEQUENCE DESCRIPTION: SEQ ID NO: 27:

1097 Ile Arg Glu Asn Leu Gly Lys His Trp Lys Asn Cys Ala Arg Lys  
 1098 1 5 10 15  
 1100 Leu Gly Phe Thr Gln Ser Gln Ile Asp Glu Ile Asp His Asp Tyr  
 1101 20 25 30  
 1103 Glu Arg Asp Gly Leu Lys Glu Lys Val Tyr Gln Met Leu Gln Lys  
 1104 35 40 45  
 1106 Trp Val Met Arg Glu Gly Ile Lys Gly Ala Thr Val Gly Lys Leu  
 1107 50 55 60  
 1109 Ala Gln Ala Leu His Gln Cys Ser Arg Ile Asp Leu Leu Ser Ser  
 1110 65 70 75  
 1112 Leu Thr

1115 (2) INFORMATION FOR SEQ ID NO: 28:

1117 (i) SEQUENCE CHARACTERISTICS:

1118 (A) LENGTH: 63 amino acids

E--&gt; 1119 (B) TYPE: PRT

## RAW SEQUENCE LISTING

PATENT APPLICATION: US/09/993,234A

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Input Set : A:\P1007P1D1.txt

Output Set: N:\CRF4\04132004\I993234A.raw

1120 (D) TOPOLOGY: Linear  
1122 (xi) SEQUENCE DESCRIPTION: SEQ ID NO: 28:  
1124 Met Ala Val Ala Phe Tyr Ile Pro Asp Gln Ala Thr Leu Leu Arg  
1125 1 5 10 15  
1127 Glu Ala Glu Gln Lys Glu Gln Gln Ile Leu Arg Leu Arg Glu Ser  
1128 20 25 30  
1130 Gln Trp Arg Phe Leu Ala Thr Val Val Leu Glu Thr Leu Lys Gln  
1131 35 40 45  
1133 Tyr Thr Ser Cys His Pro Lys Thr Gly Arg Lys Ser Gly Lys Tyr  
1134 50 55 60  
1136 Arg Lys Pro



## VERIFICATION SUMMARY

PATENT APPLICATION: US/09/993,234A

DATE: 04/13/2004

TIME: 14:32:53

Input Set : A:\P1007P1D1.txt

Output Set: N:\CRF4\04132004\I993234A.raw

L:7 M:244 W: Invalid beginning of sequence listing, Data=[SEQUENCE LISTING], Duplicate Sequence Listing Title!

L:32 M:220 C: Keyword misspelled or invalid format, [(A) APPLICATION NUMBER:]

L:33 M:220 C: Keyword misspelled or invalid format, [(B) FILING DATE:]

L:890 M:241 E: Invalid Alpha Header Field, [TYPE:], SeqNo=21

L:941 M:241 E: Invalid Alpha Header Field, [TYPE:], SeqNo=22

L:986 M:241 E: Invalid Alpha Header Field, [TYPE:], SeqNo=23

L:1013 M:241 E: Invalid Alpha Header Field, [TYPE:], SeqNo=24

L:1040 M:241 E: Invalid Alpha Header Field, [TYPE:], SeqNo=25

L:1064 M:241 E: Invalid Alpha Header Field, [TYPE:], SeqNo=26

L:1091 M:241 E: Invalid Alpha Header Field, [TYPE:], SeqNo=27

L:1118 M:241 E: Invalid Alpha Header Field, [TYPE:], SeqNo=28